

08-03-01

790002-2001

PTO/SB/05 (11/00)

Approved for use through 10/31/2002 OMB 0651-0032

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08/02/01

Please type a plus sign (+) inside this box → [+]

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 790002-2001
 First Inventor Edward Ho
 Title APPARATUS AND METHOD FOR COLLECTING LIGHT
 Express Mail Label No. EL819168398US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 36]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix.
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims (1 to 61) (pp. 37 to 48)
 - Abstract of the Disclosure (p. 49)
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 44]
- Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76.

ADDRESS TO:

Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CFR)
 - b. Specification sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document) (3 pages)
10. ☐ 37 CFR 3.73(b) Statement
- ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure (pp. 1-2) ☐ Copy of IDS Citation Statement (IDS)/PTO-1449 (dupl) (One Reference)
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).
Applicant must attach from PTO/SB/35 or its equivalent.
17. ☐ Other: Claim of Priority

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:


☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: ____/
 Prior application information: Examiner: ____ Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name FROMMER, LAWRENCE & HAUG LLP

Name (Print/Type)	Grace L. Fan, Esq.	Registration No. (Attorney/Agent)	39,440
Signature		Date	August 2, 2001

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 2000.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

TOTAL AMOUNT OF PAYMENT

(\$ 764.00)

Complete if Known

Application Number

Not Yet Known

Filing Date

August 2, 2001

First Named Inventor

Edward Ho

Examiner Name

Not Yet Known

Group/Art Unit

Not Yet Known

Attorney Docket No.

790002-2001

METHOD OF PAYMENT

1. ☐

The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Name

Frommer Lawrence & Haug LLP

Deposit
Account
Number

50-0320

☒ Charge any Additional Fee
Required Under 37 CFR 1.16 and
1.17

☐ Charge the Issue Fee Set in 37 CFR
1.18 at the Mailing of the Notice of
Allowance

2. ☒ Payment Enclosed

☒ Check

☐ Money Order

☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					355.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claim	Fee from below	Fee Paid
61	-20** =	41	X 9 = 369
Ind. Claims	4	-3** =	1 X 40 = 40
Multiple Dependent			X 270 =

** or number previously paid, if greater; for reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	130	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent
107	490	207	245	Plant filing fee
SUBTOTAL (2)				409

FEE CALCULATION

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205		Surcharge - late filing fee or oath	0
127	50	227	25	Surcharge - late provisional filing fee or Cover sheet	0
139	130	139	130	Non-English specification	0
147	2,520	147	2,520	For filing a request of reexamination	0
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0
115	110	215	55	Extension for reply within first month	0
116	390	216	195	Extension for reply within second month	0
117	890	217	445	Extension for reply within third month	0
118	1,390	218	695	Extension for reply within fourth Month	0
128	1,890	228	945	Extension for reply within fifth month	0
119	310	219	160	Notice of Appeal	0
120	310	220	155	Filing a brief in support of an appeal	0
121	270	221	135	Request for oral hearing	0
138	1,510	138	1,510	Petition to institute a public use Proceeding	0
140	110	240	55	Petition to revive - unavoidable	0
141	1,240	241	620	Petition to revive- unintentional	0
142	1,240	242	620	Utility issue fee (or reissue)	0
143	440	243	220	Design issue fee	0
144	600	244	300	Plant issue fee	0
122	130	122	130	Petitions to the Commissioner	0
123	50	123	50	Petitions related to provisional Applications	0
126	240	126	240	Submission of Information Disclosure Statement	0
581	40	581	40	Recording each patent assignment per property (times number of properties)	0
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	0
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	0
Other fee (specify)					0
Other fee (specify)					0
SUBTOTAL (3)					\$0

* Reduced by Basic Filing Fee

SUBMITTED BY

Typed or
Printed Name

Grace L. Pan, Esq.

Signature

Date

8/2/01

Complete (if applicable)

Reg. Number

39,440

Deposit Account

50-0320

CERTIFICATE OF MAILING - SEPARATE PAPER - PATENT APPLICATION

Attorney Docket No. : 790002-2001

Title : **APPARATUS AND METHOD FOR COLLECTING LIGHT**

Filed : August 2, 2001

Applicants : Edward Ho

Mailed : Via Express Mail Label # EL819168398US

I hereby certify that the Patent Application for the above-referenced application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to:

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

KENNETH PATTERSON
Typed/printed name of person mailing paper or fee

Kenneth Patterson
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION FOR LETTERS PATENT

TITLE: **APPARATUS AND METHOD FOR COLLECTING LIGHT**

INVENTOR: Edward Ho

36 pages specification

61 Claims (pages 37 to 48, including 4 independent claims)

44 sheets (Figs. 1A, 1B, 2A, 2B, 3A, 3B, 4A, 4B, 4C, 4D, 5, 6A, 6B,
 7A, 7B, 8, 9, 10, 11, 12, 13, 14, 15A, 15B, 16, 17, 18, 19,
 20A, 20B, 21, 22, 23, 24, 25, 26, 27, 28A, 28B, 28C, 28D,
 29, 30, 31, 32A, 32B, 32C, 32D, 33A, 33B, 33C, 34A, 34B, 34C)

1 page Abstract (p. 49)

EXPRESS MAIL

Mailing Label Number EL819168398US

Date of Deposit August 2, 2001

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"Express Mail Post Office to Addressee" Service
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is addressed to the Commissioner of Patents and
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